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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 09/699,015      | 10/27/2000  | Charles P. Bobbitt   | 5053-30802/EBM      | 5828             |

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ERIC B. MEYERTONS  
 CONLEY, ROSE & TAYON, P.C.  
 P.O. BOX 398  
 AUSTIN, TX 78767-0398

| EXAMINER |
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COLBERT, ELLA

| ART UNIT | PAPER NUMBER |
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3624

DATE MAILED: 09/29/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                                      |                                       |  |
|------------------------------|--------------------------------------|---------------------------------------|--|
| <b>Office Action Summary</b> | <b>Application No.</b><br>09/699,015 | <b>Applicant(s)</b><br>BOBBITT ET AL. |  |
|                              | <b>Examiner</b><br>Ella Colbert      | <b>Art Unit</b><br>3624               |  |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 18 July 2005.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1,3-24,26-51 and 53-73 is/are pending in the application.
- 4a) Of the above claim(s) 143 and 488 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,3-24,26-51 and 53-73 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>03/29/05,08/08/05</u> . | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION**

1. Claims 1, 3-24, 26-51, and 53-73 are pending. Claims 147 and 488 have been cancelled without traverse in this communication filed 07/18/05 entered as Response to Election/Restriction.
2. The IDS filed 3/29/05 has been considered.

***Claim Rejections - 35 USC § 112***

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claims 19, 42, and 69 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 19 reads "... comprises identifying one or methods and one or more properties of an object associated with each ...". Do Applicants' mean "... comprises identifying one or more methods and one or more properties of an object associated with each ..."? Claims 42 and 69 have a similar problem.

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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6. Claims 1, 24, and 51 are rejected under 35 U.S.C. 103(a) as being unpatentable over (US 5,870,725) Bellinger in view of (US 6,442,533) Hinkel.

As per claims 1, 24, and 51, Bellinger teaches, displaying one or more processing relationship object representations on a display screen in data communication with a Financial Service Organization (FSO) computer system comprising a database; selecting one or more processing relationship object representations from the displayed processing relationship object representations (col. 14, lines 9-65). Bellinger teaches the limitations above but does not teach preparing a processing relationship definition for each of the selected one or more processing relationship object representations; and storing each processing relationship definition in the database. Hinkel teaches, preparing a processing relationship definition for each of the selected one or more processing relationship object representations; and storing each processing relationship definition in the database (col. 5, lines 35-51, col. 6, line 60-col. 7, line 40). It would have been obvious to one having ordinary skill in the art at the time the invention was made to prepare a processing relationship definition for each of the selected one or more processing relationship object representations; and store each processing relationship definition in the database and to modify in Bellinger because such a modification would allow Bellinger to have a database with tables or files for storing financial information for one or more business enterprises

7. Claims 3-23, 26-50, and 53-73 are rejected under 35 U.S.C. 103(a) as being unpatentable over over (US 5,870,725) Bellinger in view of (US 6,442,533) Hinkel further in view of (US 5,933,816) Zeanah et al, hereafter Zeanah.

As per claims 3, 26, and 53, Bellinger failed to teach, wherein the processing relationship value is configured to use in identifying an FSO business entity as an owner of the FSO transaction-related data. Hinkle teaches, wherein the processing relationship value is configured to use in identifying an FSO business entity as an owner of the FSO transaction-related data (col. 6, lines 54-59).

As per claims 4, 27, and 54, Bellinger and Hinkle failed to teach, wherein the FSO business entity is a company or a business unit or a bank branch office or a regional bank or a credit card line or an issuer or an acquirer. Zeanah teaches, wherein the FSO business entity is a company or a business unit or a bank branch office or a regional bank or a credit card line or an issuer or an acquirer (col. 14, line 55-col. 15, line 10 and lines 53-62).

As per claims 5, 28, and 55, Bellinger and Hinkle failed to teach, wherein the selecting one or more processing relationship object representations is performed by a user of the FSO computer system. Zeanah teaches, wherein the selecting one or more processing relationship object representations is performed by a user of the FSO computer system (col. 16, line 46 –col. 17, line 18).

As per claims 6, 29, and 56, Bellinger and Hinkle failed to teach, wherein the selecting one or more processing relationship object representations is programmable or executable by an expert system. Zeanah teaches, wherein the selecting one or more processing relationship object representations is programmable or executable by an expert system (col. 11, lines 50-59).

As per claims 7, 30, and 57, Bellinger and Hinkle failed to teach, wherein the storing the processing relationship definition in the database comprises transferring the processing relationship definition to a report record definition stored in the database. Zeanah teaches, wherein the storing the processing relationship definition in the database comprises transferring the processing relationship definition to a report record definition stored in the database (col. 6, line 27- col. 7, line 18).

As per claims 8, 31, and 58, Bellinger and Hinkle failed to teach, wherein the preparing the processing relationship definition comprises creating a highest level processing relationship object in a processing relationship structure, wherein the highest level processing relationship object represents an FSO. Zeanah teaches, wherein the preparing the processing relationship definition comprises creating a highest level processing relationship object in a processing relationship structure, wherein the highest level processing relationship object represents an FSO (Figure 11).

As per claims 9, 32, and 59, Bellinger failed to teach, The method of claim 8, wherein the processing relationship structure is expanded by inserting one or more processing relationship objects as descendants of the highest level processing relationship object. Hinkle teaches, wherein the processing relationship structure is expanded by inserting one or more processing relationship objects as descendants of the highest level processing relationship object (col. 23, lines 5-12).

As per claims 10, 33, and 60, Bellinger failed to teach, wherein the processing relationship structure is edited by inserting or deleting one or more processing relationship objects, wherein each of the one or more processing relationship objects

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are descendents of the highest level processing relationship object. Hinkle teaches, wherein the processing relationship structure is edited by inserting or deleting one or more processing relationship objects, wherein each of the one or more processing relationship objects are descendents of the highest level processing relationship object (col. 23, lines 15-19).

As per claims 11, 34, and 61, Bellinger failed to teach, wherein the displaying one or more processing relationship object representations on a display screen comprises displaying values associated with a sequence number and a level number. Hinkle teaches, wherein the displaying one or more processing relationship object representations on a display screen comprises displaying values associated with a sequence number and a level number (fig. 11).

As per claims 12, 35, and 62, Bellinger, Hinkle, and Zeanah failed to teach, wherein the level number identifies a level in a hierarchical tree. It would have been obvious to one having ordinary skill in the art at the time the invention was made to have the level number identify a level in a hierarchical tree and to modify in Bellinger because such a modification would allow Bellinger to have a hierarchy which is a type of organization that is like a tree with branches into specific units (level numbers) with each being "owned" by the higher-level unit immediately above. Hierarchies provide organizational frameworks that reflect logical links, or relationships between separate records, files, or pieces of equipment.

As per claims 13, 36, and 63, Bellinger and Hinkle failed to teach, wherein the displaying one or more processing relationship object representations on a display

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screen comprises displaying values associated with an object name, an object description and an object number for a displayed processing relationship object . Zeanah teaches, wherein the displaying one or more processing relationship object representations on a display screen comprises displaying values associated with an object name, an object description and an object number for a displayed processing relationship object (col. 10, line lines 20-49, col. 12, lines 20-40, and col. 14, lines 65-67).

As per claims 14, 37, and 64, Bellinger failed to teach, The method of claim 13, wherein the object name identities a unique name assigned to an object. Hinkle teaches, wherein the object name identities a unique name assigned to an object (col. 9, lines 33-48 –unique name -portfolio).

As per claims 15, 38, and 65, Bellinger teaches, The method of claim 1, wherein the database is relational or object oriented (col. 14, lines 9-26).

As per claims 16, 39, and 66, Bellinger teaches, wherein the selecting a first processing relationship object representation from one or more processing relationship object representations comprises positioning a cursor of an user input device above the first processing relationship object representation and clicking a button of the user input device (col. 27, lines 48-55).

As per claims 17, 40, and 67, Bellinger teaches, wherein the preparing a processing relationship definition comprises creating or editing an object associated with each of the selected processing relationship object representation (col. 28, line 33-col. 29, line 20).



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As per claims 18, 41, and 68, Bellinger teaches, The method of claim 17, wherein the creating the object comprises identifying a unique object identifier and identifying values for the object properties (col. 27, line 50 –col. 28, line 20).

As per claims 19, 42, and 69, Bellinger teaches, wherein the preparing a processing relationship definition comprises identifying one or methods and one or more properties of an object associated with each of the selected processing relationship object representation (col. 26, lines 9-22).

As per claims 20, 43, and 70, Bellinger and Hinkle failed to teach, wherein the processing relationship object representations comprises a class of objects representing a company or a business unit or a bank branch office or a regional bank or a credit card line or an issuer or an acquirer. Zeanah teaches, wherein the processing relationship object representations comprises a class of objects representing a company or a business unit or a bank branch office or a regional bank or a credit card line or an issuer or an acquirer (col. 14, lines 55-col. 15, line 10 and lines 53-62).

As per claims 21, 44, and 71, Bellinger teaches, wherein the processing relationship object representations comprises an icon displayed on the display screen of the FSO computer system (col. 26, lines 12-18).

As per claims 22, 45, and 72, Bellinger teaches, wherein a user of the FSO computer system executes a processing relationship configuration program to prepare the processing relationship definition (col. 31, lines 2-9).

As per claims 23, 46, and 73, Bellinger teaches, wherein the user of FSO computer system executes a processing relationship configuration program to reconfigure and

store in the database the processing relationship definition in response to changing business conditions (col. 33, line 1-36).

As per claim 47, Bellinger teaches, The system of claim 24, wherein the computer system comprises a display device coupled to the computer system to display data (col. 12, line 8-13).

As per claim 48, Bellinger teaches, wherein the display device is a display screen (fig. 16J- fig. 16 O).

As per claim 49, Bellinger teaches, The system of claim 24, wherein the computer system comprises a user input device coupled to the computer system to enter data (col. 17, lines 13-16).

As per claim 50, Bellinger teaches, The system of claim 49, wherein the user input device is a mouse or a keyboard (col. 26, lines 60-66).

### **Conclusion**

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Camillone et al (US 5,421,011) disclosed accounting control in a data processing system.

Gusack (US 6,112,209) disclosed a database model.

### **Inquiries**

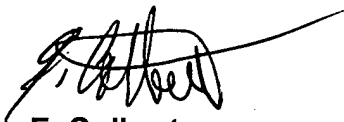
9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ella Colbert whose telephone number is 571-272-6741.

The examiner can normally be reached on Monday-Thursday, 6:30AM-5:00PM.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on 571-272-6747. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

A handwritten signature in black ink, appearing to read 'E. Colbert', with a long horizontal line extending to the right.

**E. Colbert**  
**Primary Patent Examiner**  
September 26, 2005